REGIONAL OFFICE INTERACTIONS

A. PURPOSE

The purpose of this OLMC is to establish a system for processing the interactions regarding operator licensing between the Regional Offices and the Office of Nuclear Reactor Regulation (NRR) and the Office of New Reactors (NRO) Operator Licensing Program Offices such that the following criteria are met:

1. New policies or policy changes that affect the procedures and practices for examining, licensing and re-licensing power reactor operators and senior operators, pursuant to Part 55 of Title 10 of the *Code of Federal Regulations* (10 CFR 55), are consistently implemented by all the regional offices.

2. Policy interpretations, applicable to the operator licensing process, are only made by NRC headquarters and are consistently implemented by all the regional offices.

3. Non-routine deferral, excusal, and waiver requests, as described in ES-204 of NUREG 1021, shall be submitted to the applicable program office for review and approval. The applicable program office is determined as described in Section B.1, below.

B. BACKGROUND

1. Pursuant to Section 50.b.(1) of ADM-200, "Delegation of Signature Authority," (NRR) and pursuant to Section 2.1 of ORG-102, "Delegation of Signature Authority & Obtaining Office Concurrence," (NRO) the branch chief of the applicable operator licensing program office will provide "procedural and programmatic guidance" to the regions for examining, licensing and re-licensing power reactor operators and senior operators in accordance with 10 CFR 55. The program office is responsible for ensuring that the regional offices consistently implement the operator licensing process in accordance with established procedures and regulations. The Human Performance, Operator Licensing and ITAAC Branch (HOIB) in NRO is the applicable operator licensing program office for power reactor facilities that have not transitioned from a cold-licensing process to a hot licensing process, as specified in the applicable facility's Final Safety Analysis Report (FSAR), and the Operator Licensing and Training Branch (IOLB) in NRR is the applicable operator licensing program office for all other power reactor facilities with an operator licensing and training program.

2. Frequent interactions occur between the regional offices and the program office dealing with the interpretation of policy, guidance associated with applicant eligibility, and other aspects of the operator licensing process.

3. The formal Report on Interaction (ROI) system was established to document these interactions. This system includes an efficient and timely means of distribution and filing to minimize the loss or duplication of information. Furthermore, this system facilitates the consistent application of policy by the program office and the regional offices.

C. IMPLEMENTATION

1. All operator licensing interactions with the regional offices that require a formal interpretation of policies, practices, regulations, NUREGs, or other applicable directives, shall be documented on an ROI Form (Attachment 1). Additionally, interactions such as non-routine excusal and waiver requests by license applicants, deferrals of experience or eligibility requirements, or deviations of the requirements from NUREG 1021 (exemptions), shall be submitted to the applicable program office for approval. The applicable program office staff will not act on informal telephone or e-mail requests for policy interpretation. However, informal communications with the applicable program office are appropriate to verify that an intended interaction is necessary, to establish a common understanding of the issue, or to solicit assistance in developing a suggested resolution.

2. Individuals initiating interaction requests should check the yearly ROI Index in Sharepoint and review any previous relevant ROIs to prevent duplication, before contacting the NRR program office's Operator Licensing Assistant (OLA) to request the next sequential ROI number. The ROI Combined Index and individual folders containing each year's ROIs are located in the Agency-Wide Documents Access and Management System (ADAMS) Main Library under NRR/NRR-DIRS/NRR-DIRS/IOLB/ROIs. The initiator must provide or attach sufficient background information for the program office to understand and resolve the issue. The initiator should also provide a suggested resolution and a reasonable proposed due date.

3. The regional Branch Chief must approve any ROI that originates in the region and forward a completed copy, electronic or hard copy, of the ROI to the applicable program office. To expedite processing, the ROI and any supporting information should be electronically mailed to the NRR program office OLA, who will log it in, and to the applicable program office operator licensing Branch Chief. The Branch Chief will assign a staff member to review the ROI and inform the OLA, who will enter the assignment in the ROI log. For ROIs whose resolution may involve both NRR and NRO, the regional office should discuss which

program office will be the lead program office with both the NRR and NRO program office branch chiefs prior to submitting the ROI. The non-lead program office may still be on concurrence for a specific ROI.

4. Any ROI resolution that involves an interpretation of a regulation will be sent to the operator licensing contact in the Office of the General Counsel (OGC) for concurrence. OGC concurrence is not limited to interpretation of a regulation: Every ROI shall go to OGC unless the applicable program office determines that OGC concurrence is not warranted (for example, OGC has previously provided concurrence on another, similar ROI). If such a determination is made, a justification for not providing the ROI to OGC must be provided. If there is any doubt, the ROI shall go to OGC. OGC may require a formal tasking memorandum before performing any work on the issue, and the expected response time for routine items can be lengthy. The responsible program office staff will coordinate the final resolution of these interactions commensurate with the OGC recommendation. Additionally, the Staff should consider notifying the Commission prior to authorizing any ROI whose resolution would result in a substantial departure from the processes specified in NUREG-1021.

5. The NRR program office OLA will maintain a record of all unresolved draft ROIs and those that have been sent to OGC for concurrence. Both NRR and NRO program office operator licensing Branch Chiefs will periodically review this record to ensure that ROIs are finalized in a timely manner consistent with the proposed due date and that any associated follow-up actions are initiated.

6. The applicable program office staff will work with the regional staff, as necessary, to facilitate final resolutions and to adjust the due date for any ROI that cannot be completed by the date proposed. The regional office will request and obtain from the facility licensee any additional information that the applicable program office staff needs to resolve an issue.

   The applicable program office staff will document the final resolution and add the electronic document and supporting documentation to the ADAMS' appropriate year ROI folder in the ADAMS Main Library under NRR/NRR-DIRS/NRR-DIRS/IOLB/ROIs . The ROI title in ADAMS will be in the format: "ROI-YY-##: [Brief Title]." PII information is not to be shown in the ROI and is to be redacted by the originating region from any provided supporting documentation before such information is submitted to the applicable program office. All ROIs are designated as "non-publicly available." The ADAMS document security must include viewer access for the "NRR-Operator Licensing Group," which will allow all examiners (from any region) to view the ROI. Distribution of the ROI will include Regions I, II, III, and IV Operations Branch Chiefs and OLAs. The NRR and NRO operator licensing program offices will be included on distribution.

7. The applicable operator licensing program office Branch Chief must approve the final action/resolution and distribution of every ROI, including authorization to post any policy clarification or interpretation (generally in the form of a question and answer) on the operator licensing feedback web site (at http://www.nrc.gov/reactors/operator-licensing/prog-feedback.html). ROIs are internal documents and will generally not be publicly available in ADAMS or posted directly on the web site; most ROIs are very specific in nature and do not merit conversion and posting on the web site. Per ADM-200 (for NRR) and ORG-102 (for NRO), Division Director approval is required if the issue involves policy guidance or programmatic direction (e.g., a policy change, policy interpretation, new guidance, or significant change to current guidance). Otherwise, the applicable operator licensing Branch Chief may approve the final action. For ROI resolutions impacting both NRR and NRO operator licensing programs, the non-lead office must concur with the resolution.

8. Final resolutions that require follow-up action, such as a revision to NUREG-1021, "Operator Licensing Examination Standards for Power Reactors," will be reviewed and tracked by program office staff, as designated by the Branch Chief. NUREG revisions will be processed in accordance with OLMC-110, "Control of Operator Licensing Guidance Documents."

9. The applicable program office secretary will e-mail the ADAMS accession number to all regional operator licensing Branch Chiefs, each regional OLA and the NRR program office OLA when the ROI is final and has been placed in ADAMS. Additional distribution will be as listed on the ROI.

10. All completed ROIs are filed by calendar year and by ROI number in ADAMS, and the NRR program office OLA will update the yearly ROI Index in Sharepoint on a quarterly basis.

11. All regional operator licensing Branch Chiefs will ensure that their respective OLA and examiners maintain access to the ADAMS file directory for completed ROIs. This will ensure that program office policy is consistently implemented and readily available to all operator licensing personnel attached to each region. Hard copies are not necessary if the files are readily accessible in ADAMS (e.g., in a folder/directory to which every examiner in the regional offices has viewer rights).

12. For ROIs that require changes after their initial submittal, a revised ROI may be submitted by the regional office that submitted the original request. The interaction number will be annotated with an "R" to reflect a revision to the original submittal (i.e., an ROI with an interaction number of "14-08," would be resubmitted by the region as "14-08R"). A note will also be added to the ROI stating that the original ROI was cancelled upon receipt of the revised ROI (i.e., "ROI 14-08 cancelled on receipt of ROI 14-08R"). In the event that subsequent

revisions are required, they will be annotated with the number of the revision following the “R,” and the ROI will be annotated as above (i.e., “ROI 14-08R cancelled on receipt of ROI 14-08R2”). Only the current ROI revision will be kept for any ROI.

13. In the event that a region submitting an ROI wishes to withdraw an ROI without obtaining a final resolution, the following guidance will be used:

    The OL branch chief from the region that submitted the original request may submit a request (email is acceptable) to withdraw an ROI for which a final resolution has not been issued. This request will be considered a “withdrawal.” The withdrawal request will be sent to the lead OL program office Branch Chief and to the NRR program office OLA. For ROIs that concern both the NRR and NRO OL program offices, the non-lead program office should be copied on any correspondence.

    Once a withdrawal request is received, the lead program office will annotate the ROI Final Action/Resolution to capture that the originating region withdrew the ROI, as well as the effective date of the withdrawal (e.g., “ROI YY-## withdrawn on [Month]/[Day]/[Year]”). The title of the ROI will be updated to include the word “WITHDRAWN” at the beginning of the title (“WITHDRAWN-ROI-YY-##: [Brief Title]”). The lead OL program office branch chief will approve the ROI (see C.7, above). The updated file will be entered into ADAMS, as described above. Non-lead OL program office concurrence is not required for withdrawn ROIs. The NRR program office OLA will ensure that the withdrawn ROI is annotated in yearly ROI Index as “WITHDRAWN” (may be performed as part of the quarterly update).

14. In the event that a region submitting an ROI wishes to eliminate an ROI, the following guidance will be used:

    The OL branch chief from the region that submitted the original request may submit a request (email is acceptable) to eliminate an ROI for which a final resolution has been issued, but the guidance is no longer applicable. A partial elimination is also acceptable. This request will be considered an “elimination,” or a “partial elimination.” The elimination/partial elimination request will be sent to the lead OL program office Branch Chief and to the NRR program office OLA. For ROIs that concern both the NRR and NRO OL program offices, the non-lead program office should be copied on any correspondence.

    Once an elimination or partial elimination request is received, the lead program office will annotate the ROI Final Action/Resolution to capture that the originating region requested to eliminate, or partially eliminate, the ROI, as well as the effective date of the elimination/partial elimination. The Final Action/Resolution block will be amended to reflect a strikethrough of the parts of the final resolution that are no longer in effect, and will contain information regarding the portions that are eliminated (e.g., “Portions of the final action/resolution for ROI YY-## eliminated on [Month]/[Day]/[Year] are indicated by a ‘strikethrough’ due to a request from the originator.”). The title of the ROI will be updated to include the word(s) “ELIMINATED” or “PARTIALLY ELMINATED,” as applicable, at the beginning of the title (“PARTIALLY ELIMINATED-ROI-YY-##: [Brief Title]” or “ELIMINATED-ROI-YY-##: [Brief Title]”). The lead OL program office branch chief will approve the ROI (see C.7, above), and the non-lead OL program office branch chief will concur if they provided concurrence on the original resolution. The updated file will be entered into ADAMS, as described above. The NRR program office OLA will ensure that the eliminated/partially eliminated ROI is annotated in yearly ROI Index as “ELIMINATED,” or “PARTIALLY ELMINATED” (may be performed as part of the quarterly update).

15. In the event that the lead program office issues ROI guidance that supersedes a previous ROI; or, guidance provided in an ROI is obsolete; or, ROI guidance has been captured in a permanent revision to NUREG 1021 (i.e., after the revision is published AND in effect), the NRO or NRR OL program office may take action to eliminate or partially eliminate an ROI without a request from the originating regional office.

    Once an elimination or partial elimination is determined to be necessary by either OL program office, the lead program office will amend the Final Action/Resolution block to reflect a strikethrough of the parts of the final resolution that are no longer in effect, annotate the ROI Final Action/Resolution to capture that the ROI was eliminated/partially eliminated with the effective date (e.g., “Portions of the final action/resolution for ROI YY-## eliminated on [Month]/[Day]/[Year] are indicated by a ‘strikethrough’.”), and briefly describe the circumstances of the elimination (e.g., “This ROI has been superseded by ROI-XX-XX,” or, “this ROI has been incorporated into NUREG 1021 Rev XX,” etc.). The title of the ROI will be updated to include the word(s) “ELIMINATED” or “PARTIALLY ELMINATED,” as applicable, at the beginning of the title. The lead OL program office branch chief will approve the ROI (see C.7, above), and the non-lead OL program office branch chief will concur if they provided concurrence on the original resolution. The updated file will be entered into ADAMS, as described above. The NRR program office OLA will ensure that the eliminated/partially eliminated ROI is annotated in yearly ROI Index as “ELIMINATED,” or “PARTIALLY ELMINATED” (may be performed as part of the quarterly update).

ATTACHMENT 1

Report on Interaction Form. If superseding signatures are needed (due to an elimination or partial elimination of an ROI), they may be entered under the original signatures with a corresponding new effective date.

<table>
<tr><td colspan="3" rowspan="2">07/2016
**OPERATOR LICENSING
REPORT ON INTERACTION (ROI)**</td><td colspan="2">**Interaction No.:**</td></tr>
<tr><td colspan="2">**Accession No.: ML**</td></tr>
<tr><td>**Subject:**</td><td colspan="4"></td></tr>
<tr><td>**Type of Action**:
(Check One)</td><td colspan="4">**Waiver:** **Policy Interpretation:** **Request for HQ Action:**</td></tr>
<tr><td>**From:**</td><td colspan="2"></td><td>**Date:**</td><td></td></tr>
<tr><td>**To:**</td><td></td><td colspan="2">**Proposed Due Date:**</td><td></td></tr>
<tr><td>**Additional Info.:**</td><td colspan="4"></td></tr>
<tr><td colspan="5">**<u>Background / Issue:</u>**</td></tr>
</table>

Recommended Action/Resolution:			
Final Action/Resolution: (If OGC Concurrence is not obtained, include a justification.)			
Distribution:	**OLBCs, OLAs**		
Signatures / Concurrences			
Regional OLBC:		**Date:**	
OGC*:	(*A justification must be provided in the Final Action/Resolution if OGC Concurrence is not obtained.)	**Date:**	
IOLB BC:	(may be N/A'd if IOLB is not involved with this ROI)	**Date:**	
HOIB BC:	(may be N/A'd if HOIB is not involved with this ROI)	**Date:**	
DIRS or DCIP DD:	(If needed)	**Date:**	
Distribution Completed by IOLB Secretary (Initials)**:**		**Date:**	